

CASE NUMBER: 034252/2022

EXHIBIT(S) - C (Motion #003) - Year 3 Notice of Award

Document prepared for:
kevin barlow

CASE NAME

Rosemarie Mckinnis Est Of, Kathleen Mckinniss, Carin
Rosado, James Finn Est Of, Geraldine Finn Exr v. Ecohealth
Alliance Inc, Peter Daszak, Janet D Cottingham Aka, Janet
Dasz...

CASE FILING DATE

Oct. 5th, 2022

DOCUMENT FILED DATE

Feb. 21st, 2023

COUNTY

Rockland county, NY

JUDGE

Sherri L Eisenpress

CATEGORY

Torts - Environmental (SARS-COV-2)

STATUS

Active

Exhibit C



RESEARCH

Department of Health and Human Services
National Institutes of Health

Federal Award Date: 07/22/2016



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 5R01AI110964-03**FAIN:** R01AI110964**Principal Investigator(s):**

PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus EmergenceAleksei Chmura
President
460 West 34th Street
17th Floor
New York, NY 100012317**Award e-mailed to:** chmura@ecohealthalliance.org**Period Of Performance:****Budget Period:** 06/01/2016 – 05/31/2017**Project Period:** 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$611,090 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Jenny L. Greer
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

Award Calculation (U.S. Dollars)

Salaries and Wages	\$167,708
Fringe Benefits	\$54,168
Personnel Costs (Subtotal)	\$221,876
Materials & Supplies	\$7,250
Travel	\$35,918
Other	\$11,050
Subawards/Consortium/Contractual Costs	\$213,239

Federal Direct Costs	\$489,333
Federal F&A Costs	\$121,757
Approved Budget	\$611,090
Total Amount of Federal Funds Obligated (Federal Share)	\$611,090
TOTAL FEDERAL AWARD AMOUNT	\$611,090

AMOUNT OF THIS ACTION (FEDERAL SHARE) **\$611,090**

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$611,090	\$611,090
4	\$597,112	\$597,112
5	\$581,646	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Fiscal Information:

CFDA Name: Allergy, Immunology and Transplantation Research
CFDA Number: 93.855
EIN: 1311726494A1
Document Number: RAI110964A
PMS Account Type: P (Subaccount)
Fiscal Year: 2016

IC	CAN	2016	2017	2018
AI	8472350	\$611,090	\$597,112	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

NIH Administrative Data:

PCC: M51C / **OC:** 414E / **Released:** GREERJL 07/21/2016
Award Processed: 07/26/2016 10:19:45 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01AI110964-03

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

SECTION III – TERMS AND CONDITIONS – 5R01AI110964-03

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants

Policy Statement, including addenda in effect as of the beginning date of the budget period.

- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R01AI110964. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:

Additional Costs

No funds are provided and no funds can be used to support gain-of-function research covered under the October 17, 2014 White House Announcement (NIH Guide Notice NOT-OD-15-011).

Per the letter dated July 7, 2016 to Mr. Aleksei Chmura at EcoHealth Alliance, should any of the MERS-like or SARS-like chimeras generated under this grant show evidence of enhanced virus growth greater than 1 log over the parental backbone strain you must stop all experiments with these viruses and provide the NIAID Program Officer and Grants Management Specialist, and Wuhan Institute of Virology Institutional Biosafety Committee with the relevant data and information related to these unanticipated outcomes.

This Notice of Award (NoA) includes funds for consortium activity with:

- **Wuhan Institute of Virology - CHINA** awarded in the Total Costs amount of **\$159,122** (**\$147,335** Direct Costs + **\$11,787** F&A Costs). Future year commitments are as follows:
Year 4 Total Costs: \$159,122 and Year 5 Total Costs: \$159,122
- **East China Normal University - CHINA** awarded in the Total Costs amount of **\$54,117** (**\$50,108** Direct Costs + **\$4,009** F&A Costs). Future year commitments are as follows:
Year 4 Total Costs: \$42,300 and Year 5 Total Costs: \$32,454

Consortiums are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch15.htm#_Toc271265264.

The written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial and reporting requirements for this grant.

No foreign performance site may be added to this project without prior approval of the National Institute of Allergy and Infectious Diseases.

Although a specific amount has been awarded for each consortium, the grantee retains standard rebudgeting authorities.

This award may include collaborations with and/or between foreign organizations. Please be advised that short term travel visa expenses are an allowable expense on this grant, if justified as critical and necessary for the conduct of the project.

Select Agents:

Awardee of a project that at any time involves a restricted experiment with a select agent, is responsible for notifying and receiving prior approval from the NIAID. Please be advised that changes in the use of a Select Agent will be considered a change in scope and require NIH awarding office prior approval. The approval is necessary for new select agent experiments as well as changes in on-going experiments that would require change in the biosafety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individuals who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.selectagents.gov/Regulations.html>).

Highly Pathogenic Agent:

NIAID defines a Highly Pathogenic Agent as an infectious Agent or Toxin that may warrant a biocontainment safety level of BSL3 or higher according to the current edition of the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories (BMBL) (<http://www.cdc.gov/OD/ohs/biosfty/bmb15/bmb15toc.htm>). Research funded under this grant must adhere to the BMBL, including using the BMBL-recommended biocontainment level at a minimum. If your Institutional Biosafety Committee (or equivalent body) or designated institutional biosafety official recommend a higher biocontainment level, the highest recommended containment level must be used.

When submitting future Progress Reports indicate at the beginning of the report:

If no research with a Highly Pathogenic Agent or Select Agent has been performed or is planned to be performed under this grant.

If your IBC or equivalent body or official has determined, for example, by conducting a risk assessment, that the work being planned or performed under this grant may be conducted at a biocontainment safety level that is lower than BSL3.

If the work involves Select Agents and/or Highly Pathogenic Agents, also address the following points:

Any changes in the use of the Agent(s) or Toxin(s) including its restricted experiments that have resulted in a change in the required biocontainment level, and any resultant change in location, if applicable, as determined by your IBC or equivalent body or official.

If work with a new or additional Agent(s)/Toxin(s) is proposed in the upcoming project period, provide:

- o A list of the new and/or additional Agent(s) that will be studied;
- o A description of the work that will be done with the Agent(s), and whether or not the work is a restricted experiment;
- o The title and location for each biocontainment resource/facility, including the name of the organization that operates the facility, and the biocontainment level at which the work will be conducted, with documentation of approval by your IBC or equivalent body or official. It is important to note if the work is being done in a new location.

STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Jenny L. Greer

Email: jenny.greer@nih.gov **Phone:** 240-669-2949 **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: erik.stemmy@nih.gov **Phone:** 240-627-3380

SPREADSHEET SUMMARY

GRANT NUMBER: 5R01AI110964-03

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 3	Year 4	Year 5
Salaries and Wages	\$167,708	\$167,708	\$167,708
Fringe Benefits	\$54,168	\$54,168	\$54,168
Personnel Costs (Subtotal)	\$221,876	\$221,876	\$221,876
Materials & Supplies	\$7,250	\$7,000	\$3,500
Travel	\$35,918	\$35,918	\$35,918
Other	\$11,050	\$9,800	\$9,400
Subawards/Consortium/Contractual Costs	\$213,239	\$201,422	\$191,576
TOTAL FEDERAL DC	\$489,333	\$476,016	\$462,270
TOTAL FEDERAL F&A	\$121,757	\$121,096	\$119,376
TOTAL COST	\$611,090	\$597,112	\$581,646

Facilities and Administrative Costs	Year 3	Year 4	Year 5
F&A Cost Rate 1	44.1%	44.1%	44.1%
F&A Cost Base 1	\$276,094	\$274,594	\$270,694
F&A Costs 1	\$121,757	\$121,096	\$119,376



RESEARCH

Department of Health and Human Services
National Institutes of Health

Federal Award Date: 11/30/2016



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 5R01AI110964-03 REVISED**FAIN:** R01AI110964**Principal Investigator(s):**

PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus EmergenceAleksi Chmura
President
460 West 34th Street
17th Floor
New York, NY 100012317**Award e-mailed to:** chmura@ecohealthalliance.org**Period Of Performance:****Budget Period:** 06/01/2016 – 05/31/2017**Project Period:** 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Jenny L. Greer
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

Award Calculation (U.S. Dollars)

Salaries and Wages	\$167,708
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Other	\$11,050
Subawards/Consortium/Contractual Costs	\$213,239

Federal Direct Costs	\$489,333
Federal F&A Costs	\$121,757
Approved Budget	\$611,090
Total Amount of Federal Funds Obligated (Federal Share)	\$611,090
TOTAL FEDERAL AWARD AMOUNT	\$611,090

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$0

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$611,090	\$611,090
4	\$597,112	\$597,112
5	\$581,646	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Fiscal Information:

CFDA Name: Allergy, Immunology and Transplantation Research
CFDA Number: 93.855
EIN: 1311726494A1
Document Number: RAI110964A
PMS Account Type: P (Subaccount)
Fiscal Year: 2016

IC	CAN	2016	2017	2018
AI	8472350	\$611,090	\$597,112	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

NIH Administrative Data:

PCC: M51C / **OC:** 414E / **Released:** GREERJL 11/29/2016
Award Processed: 11/30/2016 12:01:30 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01AI110964-03 REVISED

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

SECTION III – TERMS AND CONDITIONS – 5R01AI110964-03 REVISED

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Policy Statement, including addenda in effect as of the beginning date of the budget period.

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This award has been assigned the Federal Award Identification Number (FAIN) R01AI110964. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

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Treatment of Program Income:
Additional Costs

REVISED AWARD: This Notice of Award is revised to provide approval for collaboration with the **Wuhan University School of Public Health (CHINA)** in accordance with the request submitted by Aleksei Chmura, Ecohealth Alliance, Inc. on October 6, 2016.

Supersedes previous Notice of Award dated **7/26/2016**.

No funds are provided and no funds can be used to support gain-of-function research covered under the October 17, 2014 White House Announcement (NIH Guide Notice NOT-OD-15-011).

Per the letter dated July 7, 2016 to Mr. Aleksei Chmura at EcoHealth Alliance, should any of the MERS-like or SARS-like chimeras generated under this grant show evidence of enhanced virus growth greater than 1 log over the parental backbone strain you must stop all experiments with these viruses and provide the NIAID Program Officer and Grants Management Specialist, and Wuhan Institute of Virology Institutional Biosafety Committee with the relevant data and information related to these unanticipated outcomes.

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Highly Pathogenic Agent:

NIH defines a Highly Pathogenic Agent as an infectious Agent or Toxin that may warrant a biocontainment safety level of BSL3 or higher according to the current edition of the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories (BMBL) (<http://www.cdc.gov/OD/ohs/biosfty/bmb15/bmb15toc.htm>). Research funded under this grant must adhere to the BMBL, including using the BMBL-recommended biocontainment level at a minimum. If your Institutional Biosafety Committee (or equivalent body) or designated institutional biosafety official recommend a higher biocontainment level, the highest recommended containment level must be used.

When submitting future Progress Reports indicate at the beginning of the report:

If no research with a Highly Pathogenic Agent or Select Agent has been performed or is planned to be performed under this grant.

If your IBC or equivalent body or official has determined, for example, by conducting a risk assessment, that the work being planned or performed under this grant may be conducted at a biocontainment safety level that is lower than BSL3.

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- o A list of the new and/or additional Agent(s) that will be studied;
- o A description of the work that will be done with the Agent(s), and whether or not the work is a restricted experiment;
- o The title and location for each biocontainment resource/facility, including the name of the organization that operates the facility, and the biocontainment level at which the work will be conducted, with documentation of approval by your IBC or equivalent body or official. It is important to note if the work is being done in a new location.

STAFF CONTACTS

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Grants Management Specialist: Jenny L. Greer

Email: jenny.greer@nih.gov **Phone:** 240-669-2949 **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: erik.stemmy@nih.gov **Phone:** 240-627-3380

SPREADSHEET SUMMARY

GRANT NUMBER: 5R01AI110964-03 REVISED

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 3	Year 4	Year 5
Salaries and Wages	\$167,708	\$167,708	\$167,708
Fringe Benefits	\$54,168	\$54,168	\$54,168
Personnel Costs (Subtotal)	\$221,876	\$221,876	\$221,876

NYSCEF DOC. NO. 81

RECEIVED NYSCEF: 02/21/2023

Materials & Supplies	\$7,250	\$7,000	\$3,500
Travel	\$35,918	\$35,918	\$35,918
Other	\$11,050	\$9,800	\$9,400
Subawards/Consortium/Contractual Costs	\$213,239	\$201,422	\$191,576
TOTAL FEDERAL DC	\$489,333	\$476,016	\$462,270
TOTAL FEDERAL F&A	\$121,757	\$121,096	\$119,376
TOTAL COST	\$611,090	\$597,112	\$581,646

Facilities and Administrative Costs	Year 3	Year 4	Year 5
F&A Cost Rate 1	44.1%	44.1%	44.1%
F&A Cost Base 1	\$276,094	\$274,594	\$270,694
F&A Costs 1	\$121,757	\$121,096	\$119,376



RESEARCH

Department of Health and Human Services
National Institutes of Health

Federal Award Date: 11/30/2016



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 5R01AI110964-03 REVISED**FAIN:** R01AI110964**Principal Investigator(s):**

PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus EmergenceAleksy Chmura
President
460 West 34th Street
17th Floor
New York, NY 100012317**Award e-mailed to:** chmura@ecohealthalliance.org**Period Of Performance:****Budget Period:** 06/01/2016 – 05/31/2017**Project Period:** 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Jenny L. Greer
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

Award Calculation (U.S. Dollars)

Salaries and Wages	\$167,708
Fringe Benefits	\$54,168
Personnel Costs (Subtotal)	\$221,876
Materials & Supplies	\$7,250
Travel	\$35,918
Other	\$11,050
Subawards/Consortium/Contractual Costs	\$213,239

Federal Direct Costs	\$489,333
Federal F&A Costs	\$121,757
Approved Budget	\$611,090
Total Amount of Federal Funds Obligated (Federal Share)	\$611,090
TOTAL FEDERAL AWARD AMOUNT	\$611,090

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$0

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$611,090	\$611,090
4	\$597,112	\$597,112
5	\$581,646	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Fiscal Information:

CFDA Name: Allergy, Immunology and Transplantation Research
CFDA Number: 93.855
EIN: 1311726494A1
Document Number: RA110964A
PMS Account Type: P (Subaccount)
Fiscal Year: 2016

IC	CAN	2016	2017	2018
AI	8472350	\$611,090	\$597,112	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

NIH Administrative Data:

PCC: M51C / **OC:** 414E / **Released:** GREERJL 11/29/2016
Award Processed: 11/30/2016 12:01:30 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01AI110964-03 REVISED

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

SECTION III – TERMS AND CONDITIONS – 5R01AI110964-03 REVISED

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants

Policy Statement, including addenda in effect as of the beginning date of the budget period.

- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R01AI110964. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:
Additional Costs

REVISED AWARD: This Notice of Award is revised to provide approval for collaboration with the **Wuhan University School of Public Health (CHINA)** in accordance with the request submitted by Aleksei Chmura, Ecohealth Alliance, Inc. on October 6, 2016.

Supersedes previous Notice of Award dated **7/26/2016**.

No funds are provided and no funds can be used to support gain-of-function research covered under the October 17, 2014 White House Announcement (NIH Guide Notice NOT-OD-15-011).

Per the letter dated July 7, 2016 to Mr. Aleksei Chmura at EcoHealth Alliance, should any of the MERS-like or SARS-like chimeras generated under this grant show evidence of enhanced virus growth greater than 1 log over the parental backbone strain you must stop all experiments with these viruses and provide the NIAID Program Officer and Grants Management Specialist, and Wuhan Institute of Virology Institutional Biosafety Committee with the relevant data and information related to these unanticipated outcomes.

This Notice of Award (NoA) includes funds for consortium activity with:

- **Wuhan Institute of Virology - CHINA** awarded in the Total Costs amount of **\$159,122 (\$147,335 Direct Costs + \$11,787 F&A Costs)**. Future year commitments are as follows:
Year 4 Total Costs: \$159,122 and Year 5 Total Costs: \$159,122
- **East China Normal University - CHINA** awarded in the Total Costs amount of **\$54,117 (\$50,108 Direct Costs + \$4,009 F&A Costs)**. Future year commitments are as follows:
Year 4 Total Costs: \$42,300 and Year 5 Total Costs: \$32,454

Consortiums are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch15.htm#_Toc271265264.

The written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial and reporting requirements for this grant.

No foreign performance site may be added to this project without prior approval of the National Institute of Allergy and Infectious Diseases.

Although a specific amount has been awarded for each consortium, the grantee retains standard rebudgeting authorities.

This award may include collaborations with and/or between foreign organizations. Please be advised that short term travel visa expenses are an allowable expense on this grant, if justified as critical and necessary for the conduct of the project.

Select Agents:

Awardee of a project that at any time involves a restricted experiment with a select agent, is responsible for notifying and receiving prior approval from the NIAID. Please be advised that changes in the use of a Select Agent will be considered a change in scope and require NIH awarding office prior approval. The approval is necessary for new select agent experiments as well as changes in on-going experiments that would require change in the biosafety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individuals who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.selectagents.gov/Regulations.html>).

Highly Pathogenic Agent:

NIH defines a Highly Pathogenic Agent as an infectious Agent or Toxin that may warrant a biocontainment safety level of BSL3 or higher according to the current edition of the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories (BMBL) (<http://www.cdc.gov/OD/ohs/biosfty/bmb15/bmb15toc.htm>). Research funded under this grant must adhere to the BMBL, including using the BMBL-recommended biocontainment level at a minimum. If your Institutional Biosafety Committee (or equivalent body) or designated institutional biosafety official recommend a higher biocontainment level, the highest recommended containment level must be used.

When submitting future Progress Reports indicate at the beginning of the report:

If no research with a Highly Pathogenic Agent or Select Agent has been performed or is planned to be performed under this grant.

If your IBC or equivalent body or official has determined, for example, by conducting a risk assessment, that the work being planned or performed under this grant may be conducted at a biocontainment safety level that is lower than BSL3.

If the work involves Select Agents and/or Highly Pathogenic Agents, also address the following points:

Any changes in the use of the Agent(s) or Toxin(s) including its restricted experiments that have resulted in a change in the required biocontainment level, and any resultant change in location, if applicable, as determined by your IBC or equivalent body or official.

If work with a new or additional Agent(s)/Toxin(s) is proposed in the upcoming project period, provide:

- o A list of the new and/or additional Agent(s) that will be studied;
- o A description of the work that will be done with the Agent(s), and whether or not the work is a restricted experiment;
- o The title and location for each biocontainment resource/facility, including the name of the organization that operates the facility, and the biocontainment level at which the work will be conducted, with documentation of approval by your IBC or equivalent body or official. It is important to note if the work is being done in a new location.

STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Jenny L. Greer

Email: jenny.greer@nih.gov **Phone:** 240-669-2949 **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: erik.stemmy@nih.gov **Phone:** 240-627-3380

SPREADSHEET SUMMARY

GRANT NUMBER: 5R01AI110964-03 REVISED

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 3	Year 4	Year 5
Salaries and Wages	\$167,708	\$167,708	\$167,708
Fringe Benefits	\$54,168	\$54,168	\$54,168
Personnel Costs (Subtotal)	\$221,876	\$221,876	\$221,876

NYSCEF DOC. NO. 81

RECEIVED NYSCEF: 02/21/2023

Materials & Supplies	\$7,250	\$7,000	\$3,500
Travel	\$35,918	\$35,918	\$35,918
Other	\$11,050	\$9,800	\$9,400
Subawards/Consortium/Contractual Costs	\$213,239	\$201,422	\$191,576
TOTAL FEDERAL DC	\$489,333	\$476,016	\$462,270
TOTAL FEDERAL F&A	\$121,757	\$121,096	\$119,376
TOTAL COST	\$611,090	\$597,112	\$581,646

Facilities and Administrative Costs	Year 3	Year 4	Year 5
F&A Cost Rate 1	44.1%	44.1%	44.1%
F&A Cost Base 1	\$276,094	\$274,594	\$270,694
F&A Costs 1	\$121,757	\$121,096	\$119,376



RESEARCH

Department of Health and Human Services
National Institutes of Health

Federal Award Date: 05/05/2017



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 5R01AI110964-03 REVISED**FAIN:** R01AI110964**Principal Investigator(s):**

PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus EmergenceAleksei Chmura
President
460 West 34th Street
17th Floor
New York, NY 100012317**Award e-mailed to:** chmura@ecohealthalliance.org**Period Of Performance:****Budget Period:** 06/01/2016 – 05/31/2017**Project Period:** 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

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If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Philip E. Smith
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

Award Calculation (U.S. Dollars)

Salaries and Wages	\$167,708
Fringe Benefits	\$54,168
Personnel Costs (Subtotal)	\$221,876
Materials & Supplies	\$7,250
Travel	\$35,918
Other	\$11,050
Subawards/Consortium/Contractual Costs	\$213,239

Federal Direct Costs	\$489,333
Federal F&A Costs	\$121,757
Approved Budget	\$611,090
Total Amount of Federal Funds Obligated (Federal Share)	\$611,090
TOTAL FEDERAL AWARD AMOUNT	\$611,090

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$0

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$611,090	\$611,090
4	\$597,112	\$597,112
5	\$581,646	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Fiscal Information:

CFDA Name: Allergy and Infectious Diseases Research
 CFDA Number: 93.855
 EIN: 1311726494A1
 Document Number: RAI110964A
 PMS Account Type: P (Subaccount)
 Fiscal Year: 2016

IC	CAN	2016	2017	2018
AI	8472350	\$611,090	\$597,112	\$581,646

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

NIH Administrative Data:

PCC: M51C / OC: 414E / Released: SMITHPE 05/05/2017
 Award Processed: 05/05/2017 07:00:56 PM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01AI110964-03 REVISED

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SECTION III – TERMS AND CONDITIONS – 5R01AI110964-03 REVISED

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- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants

Policy Statement, including addenda in effect as of the beginning date of the budget period.

- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

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This award has been assigned the Federal Award Identification Number (FAIN) R01AI110964. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

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In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:
Additional Costs

The Research Performance Progress Report (RPPR), Section G.9 (Foreign component), includes reporting requirements for all research performed outside of the United States. Research conducted at the following site(s) must be reported in your RPPR:

San Pya Clinic, BURMA
Institut Pasteur du Cambodge, CAMBODIA
Primate Research Center at Bogor Agricultural University, INDONESIA
Conservation Medicine, Ltd, MALAYSIA
King Chulalongkorn Memorial Hospital, THAILAND
Hanoi Agricultural University, VIETNAM

REVISED AWARD: This Notice of Award is revised to provide approval for collaboration with the **Wuhan University School of Public Health (CHINA)** in accordance with the request submitted by Aleksei Chmura, Ecohealth Alliance, Inc. on October 6, 2016.

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This Notice of Award (NoA) includes funds for consortium activity with:

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Year 4 Total Costs: \$159,122 and Year 5 Total Costs: \$159,122
- **East China Normal University - CHINA** awarded in the Total Costs amount of **\$54,117** (**\$50,108** Direct Costs + **\$4,009** F&A Costs). Future year commitments are as follows:
Year 4 Total Costs: \$42,300 and Year 5 Total Costs: \$32,454

Consortiums are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch15.htm#_Toc271265264.

The written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial and reporting requirements for this grant.

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Select Agents:

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Highly Pathogenic Agent:

NIAID defines a Highly Pathogenic Agent as an infectious Agent or Toxin that may warrant a biocontainment safety level of BSL3 or higher according to the current edition of the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories (BMBL) (<http://www.cdc.gov/OD/ohs/biosfty/bmbl5/bmbl5toc.htm>). Research funded under this grant must adhere to the BMBL, including using the BMBL-recommended biocontainment level at a minimum. If your Institutional Biosafety Committee (or equivalent body) or designated institutional biosafety official recommend a higher biocontainment level, the highest recommended containment level must be used.

When submitting future Progress Reports indicate at the beginning of the report:

If no research with a Highly Pathogenic Agent or Select Agent has been performed or is planned to be performed under this grant.

If your IBC or equivalent body or official has determined, for example, by conducting a risk assessment, that the work being planned or performed under this grant may be conducted at a biocontainment safety level that is lower than BSL3.

If the work involves Select Agents and/or Highly Pathogenic Agents, also address the following points:

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If work with a new or additional Agent(s)/Toxin(s) is proposed in the upcoming project period, provide:

- o A list of the new and/or additional Agent(s) that will be studied;
- o A description of the work that will be done with the Agent(s), and whether or not the work is a restricted experiment;
- o The title and location for each biocontainment resource/facility, including the name of the organization that operates the facility, and the biocontainment level at which the work will be conducted, with documentation of approval by your IBC or equivalent body or official. It is important to note if the work is being done in a new location.

STAFF CONTACTS

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Individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Jenny L. Greer

Email: jenny.greer@nih.gov **Phone:** 240-669-2949 **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: erik.stemmy@nih.gov **Phone:** 240-627-3380

SPREADSHEET SUMMARY

GRANT NUMBER: 5R01AI110964-03 REVISED

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 3	Year 4	Year 5
Salaries and Wages	\$167,708	\$167,708	\$167,708
Fringe Benefits	\$54,168	\$54,168	\$54,168
Personnel Costs (Subtotal)	\$221,876	\$221,876	\$221,876
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Travel	\$35,918	\$35,918	\$35,918
Other	\$11,050	\$9,800	\$9,400
Subawards/Consortium/Contractual Costs	\$213,239	\$201,422	\$191,576
TOTAL FEDERAL DC	\$489,333	\$476,016	\$462,270
TOTAL FEDERAL F&A	\$121,757	\$121,096	\$119,376
TOTAL COST	\$611,090	\$597,112	\$581,646

Facilities and Administrative Costs	Year 3	Year 4	Year 5
F&A Cost Rate 1	44.1%	44.1%	44.1%
F&A Cost Base 1	\$276,094	\$274,594	\$270,694
F&A Costs 1	\$121,757	\$121,096	\$119,376